

Quasi-Nilpotent Operators on Locally Convex Spaces *

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Abstract

In this article we extend the notion of quasi-nilpotent equivalent operators, introduced by Colojoara and Foias [4] for Banach spaces, to the class of bounded operators on sequentially complete locally convex spaces.

AMS 2000 Subject Classification: 47B40, 47B99

1 Introduction

The class of quasi-nilpotent equivalent operators on a Banach space was introduced by Colojoara and Foias [4]. The aim of this paper is to search if we can extend this theory to the class of bounded operators on sequentially complete locally convex spaces.

Any family \mathcal{P} of seminorms which generate the topology of a locally convex space X (in the sense that the topology of X is the coarsest with respect to which all seminorms of \mathcal{P} are continuous) will be called a calibration on X . The set of all calibrations for X is denoted by $\mathcal{C}(X)$ and the set of all principal calibration by $\mathcal{C}_0(X)$.

An operator T on a locally convex space X is quotient bounded with respect to a calibration $\mathcal{P} \in \mathcal{C}(X)$ if for every seminorm $p \in \mathcal{P}$ there exists some $c_p > 0$ such that

$$p(Tx) \leq c_p p(x), (\forall) x \in X.$$

The class of quotient bounded operators with respect to a calibration $\mathcal{P} \in \mathcal{C}(X)$ is denoted by $Q_{\mathcal{P}}(X)$. For every $p \in \mathcal{P}$ the application $\hat{p}: Q_{\mathcal{P}}(X) \rightarrow \mathbf{R}$ defined by

$$\hat{p}(T) = \inf \{ r > 0 \mid p(Tx) \leq rp(x), (\forall) x \in X \},$$

is a submultiplicative seminorm on $Q_{\mathcal{P}}(X)$, satisfying the relation $\hat{p}(I) = 1$, and has the following properties

1. $\hat{p}(T) = \sup_{p(x)=1} p(Tx) = \sup_{p(x) \leq 1} p(Tx), (\forall) p \in \mathcal{P}, (\forall) q \in \mathcal{Q};$
2. $p(Tx) \leq \hat{p}(T) p(x), (\forall) x \in X.$

We denote by $\hat{\mathcal{P}}$ the family $\{\hat{p} \mid p \in \mathcal{P}\}$. If $T \in Q_{\mathcal{P}}(X)$ we said that $\alpha \in \mathbb{C}$ is in the resolvent set $\rho(Q_{\mathcal{P}}, T)$ if there exists $(\alpha I - T)^{-1} \in Q_{\mathcal{P}}(X)$. The spectral set $\sigma(Q_{\mathcal{P}}, T)$ will be the complement set of $\rho(Q_{\mathcal{P}}, T)$.

An operator $T \in Q_{\mathcal{P}}(X)$ is a bounded element of the algebra $Q_{\mathcal{P}}(X)$ if it is bounded element in the sense of G.R.Allan [1], i.e some scalar multiple of it generates a bounded semigroup. The class of the bounded elements of $Q_{\mathcal{P}}(X)$ is denoted by $(Q_{\mathcal{P}}(X))_0$. If $r_{\mathcal{P}}(T)$ is the radius of boundness of the operator T in $Q_{\mathcal{P}}(X)$, i.e.

$$r_{\mathcal{P}}(T) = \inf \{ \alpha > 0 \mid \alpha^{-1}T \text{ generates a bounded semigroup in } Q_{\mathcal{P}}(X) \},$$

*This paper was written during my visit to Departamento de Analisis Matematico, from Facultad de Ciencias Matematicas de la Universidad Complutense de Madrid, and was supported by the MEdC-ANCS CEEX grant ET65/2005 contract no. 2987/11.10.2005 and the M.Ed.C. grant C.N.B.S.S. contract no. 5800/09.10.2006.

then in [1] is proved that

$$r_{\mathcal{P}}(T) = \sup\{ \limsup_{n \rightarrow \infty} (\hat{p}(T^n))^{1/n} \mid p \in \mathcal{P} \}.$$

The Waelbroeck resolvent set $\rho_W(Q_{\mathcal{P}}, T)$ of an operator $T \in (Q_{\mathcal{P}}(X))_0$ is the subset of elements of $\lambda_0 \in \mathbb{C}_{\infty} = \mathbb{C} \cup \{\infty\}$, for which there exists a neighborhood $V \in \mathcal{V}_{(\lambda_0)}$ such that:

1. the operator $\lambda I - T$ is invertible in $Q_{\mathcal{P}}(X)$ for all $\lambda \in V \setminus \{\infty\}$
2. the set $\{ (\lambda I - T)^{-1} \mid \lambda \in V \setminus \{\infty\} \}$ is bounded in $Q_{\mathcal{P}}(X)$.

The Waelbroeck spectrum of T , denoted by $\sigma_W(Q_{\mathcal{P}}, T)$, is the complement of the set $\rho_W(Q_{\mathcal{P}}, T)$ in \mathbb{C}_{∞} . It is obvious that $\sigma(Q_{\mathcal{P}}, T) \subset \sigma_W(Q_{\mathcal{P}}, T)$. An operator $T \in Q_{\mathcal{P}}(X)$ is regular if $\infty \notin \sigma_W(Q_{\mathcal{P}}, T)$, i.e. there exists some $t > 0$ such that:

1. the operator $\lambda I - T$ is invertible in $Q_{\mathcal{P}}(X)$, for all $|\lambda| > t$
2. the set $\{R(\lambda, T) \mid |\lambda| > t\}$ is bounded in $Q_{\mathcal{P}}(X)$.

Given (X, \mathcal{P}) a locally convex space, for each $p \in \mathcal{P}$ we denote by N^p the null space and by X^p the quotient space X/N^p . For each $p \in \mathcal{P}$ consider the canonical quotient map $\pi_p : X \rightarrow X/N^p$ given by relation

$$\pi_p(x) = x_p \equiv x + N^p, (\forall) x \in X,$$

(from X to X^p) which is an onto morphism. It is obvious that X_p is a normed space, for each $p \in \mathcal{P}$, with norm $\|\bullet\|_p$ defined by

$$\|x_p\|_p = p(x), (\forall) x \in X.$$

Consider the algebra homomorphism $T \rightarrow T^p$ of $Q_{\mathcal{P}}(X)$ into $\mathcal{L}(X^p)$ defined by

$$T^p(x_p) = (Tx)_p, (\forall) x \in X.$$

This operators are well defined because $T(N^p) \subset N^p$. Moreover, for each $p \in \mathcal{P}$, $\mathcal{L}(X_p)$ is a unital normed algebra and we have

$$\begin{aligned} \|T^p\|_p &= \sup \left\{ \|T^p x_p\|_p \mid \|x_p\|_p \leq 1 \text{ for } x_p \in X_p \right\} \\ &= \sup \{ p(Tx) \mid p(x) \leq 1 \text{ for } x \in X \} = \hat{p}(T) \end{aligned}$$

For every $p \in \mathcal{P}$ consider the normed space $(\tilde{X}^p, \|\bullet\|_p)$ the completion of $(X_p, \|\bullet\|_p)$. If $T \in Q_{\mathcal{P}}(X)$, then the operator T^p has an unique continuous linear extension \tilde{T}^p on $(\tilde{X}^p, \|\bullet\|_p)$ and

$$\sigma(Q_{\mathcal{P}}, T) = \bigcup_{p \in \mathcal{P}} \sigma(\tilde{T}^p) = \bigcup_{p \in \mathcal{P}} \sigma(T_p).$$

2 Bounded Operators with SVEP

Lemma 2.1 *If (X, \mathcal{P}) is a sequentially complete locally convex space and $T \in (Q_{\mathcal{P}}(X))_0$, then*

$$\mathring{\rho}(Q_{\mathcal{P}}, T) = \rho_W(Q_{\mathcal{P}}, T).$$

Proof. Assume that there exists $\lambda_0 \in \rho(Q_{\mathcal{P}}, T) \setminus \rho_W(Q_{\mathcal{P}}, T)$ such that $\lambda_0 \in \overset{\circ}{\rho}(Q_{\mathcal{P}}, T)$. Since $\lambda_0 \notin \rho_W(Q_{\mathcal{P}}, T)$, then for each neighborhood U of λ_0 the set

$$\{ (\lambda I - T)^{-1} \mid \lambda \in U \}$$

is not bounded in $Q_{\mathcal{P}}(X)$. Let $U \in \rho(Q_{\mathcal{P}}, T)$ an open set such that $\lambda_0 \in U$. This implies that there exists $\lambda_1 \in U$ and $p \in \mathcal{P}$ such that for every $n \in \mathbb{N}$ there exists $x_n \in X$ ($p(x_n) \neq 0$) with the property

$$p(R(\lambda_1, T)x_n) > np(x_n),$$

Therefore, for $y_n = R(\lambda_1, T)x_n$ we have

$$p(y_n) > np((\lambda_1 I - T)y_n),$$

which implies that $\lambda_1 \in \sigma_a(Q_{\mathcal{P}}, T) \subset \sigma(Q_{\mathcal{P}}, T)$ (see [11]). This contradicts the supposition we made, so lemma is proved. \blacksquare

Definition 2.2 If (X, \mathcal{P}) is a sequentially complete locally convex space we say that the operator $T \in (Q_{\mathcal{P}}(X))_0$ has the single-valued extension property (we will write SVEP) if for any analytic function $f : D_f \rightarrow X$, where $D_f \subset \mathbb{C}$ is an open set, with the property

$$(\lambda I - T)f(\lambda) \equiv 0_X, (\forall) \lambda \in D_f,$$

results that $f \equiv 0, (\forall) \lambda \in D_f$.

Definition 2.3 Let (X, \mathcal{P}) be a sequentially complete locally convex space and $T \in (Q_{\mathcal{P}}(X))_0$. For every $x \in X$ we say that the analytic function $f_x : D_x \rightarrow X$ is an analytic extension of the function $\lambda \rightarrow R(\lambda, T)x$ if D_x is an open set such that $\rho_W(Q_{\mathcal{P}}, T) \subset D_x$ and

$$(\lambda I - T)f(\lambda) \equiv x, (\forall) \lambda \in D_x.$$

Denote by $\rho_T(x)$ the set of all complex number λ_0 for which there exists an open set D_{λ_0} , such that $\lambda_0 \in D_{\lambda_0}$, and an analytic function $f_x : D_{\lambda_0} \rightarrow X$ which has the property

$$(\lambda I - T)f_x(\lambda) \equiv x, (\forall) \lambda \in D_x.$$

The set $\sigma_T(x)$ will be the complement of the set $\rho_T(x)$.

Remark 2.4 1. In the case of bounded operators on a Banach space we have the condition $\rho(T) \subset D_x$, but the lemma 2.1 implies that this conditions in the case of quotient bounded operators on sequentially complete locally convex space is naturally replaced by the condition $\rho_W(Q_{\mathcal{P}}, T) \subset D_x$.

2. It is known that for a locally bounded operator $T \in Q_{\mathcal{P}}(X)$ we have the equalities

$$\rho(Q_{\mathcal{P}}, T) = \rho_W(Q_{\mathcal{P}}, T) = \rho(T),$$

so in this case we can use $\rho(T)$ instead of $\rho_W(Q_{\mathcal{P}}, T)$ in all definitions we presented above.

Remark 2.5 If $T \in (Q_{\mathcal{P}}(X))_0$ has SVEP then for each $x \in X$ there exists an unique maximal analytic extension of the application $\lambda \rightarrow R(\lambda, T)x$, which will be denoted by \tilde{x} . Since $T \in (Q_{\mathcal{P}}(X))_0$ has SVEP the set $\rho_T(x)$ is correctly defined and is unique. Moreover, $\rho_T(x)$ is open and $\sigma_T(x)$ is closed.

Remark 2.6 If $T \in (Q_{\mathcal{P}}(X))_0$ has SVEP and $x \in X$, then

1. $\rho_T(x)$ is an open set;

2. $\rho_T(x)$ is the domain of definition for \tilde{x} ;

3. $\rho_W(Q_{\mathcal{P}}, T) \subset \rho_T(x)$.

Lemma 2.7 Let (X, \mathcal{P}) be a sequentially complete locally convex space. If $T \in (Q_{\mathcal{P}}(X))_0$ then

1. the application $\lambda \rightarrow R(\lambda, T)$ is holomorphic on $\rho_W(Q_{\mathcal{P}}, T)$;
2. $\frac{d^n}{d\lambda^n} R(\lambda, T) = (-1)^n n! R(\lambda, T)^{n+1}$, for every $n \in \mathbb{N}$;
3. $\lim_{|\lambda| \rightarrow \infty} R(\lambda, T) = 0$ and $\lim_{|\lambda| \rightarrow \infty} R(1, \lambda^{-1}T) = \lim_{|\lambda| \rightarrow \infty} \lambda R(1, T) = I$.

Proof. 1) If $\lambda_0 \in \rho_W(Q_{\mathcal{P}}, T)$ then there exists $V \in \mathcal{V}_{(\lambda_0)}$ with the properties (1) and (2) from definition of Walebroeck resolvent set. Since for every $\lambda \in V \setminus \{\infty\}$ we have

$$R(\lambda, T) - R(\lambda_0, T) = (\lambda_0 - \lambda)R(\lambda, T)R(\lambda_0, T)$$

and the set $\{R(\lambda, T) \mid \lambda \in V \setminus \{\infty\}\}$ is bounded in $Q_{\mathcal{P}}(X)$ results that the application $\lambda \rightarrow R(\lambda, T)$ is continuous in λ_0 , so

$$\lim_{\lambda \rightarrow \lambda_0} \frac{R(\lambda, T) - R(\lambda_0, T)}{\lambda - \lambda_0} = -R^2(\lambda_0, T)$$

If $\lambda_0 = \infty$ then, there exists some neighborhood $V \in \mathcal{V}_{(\infty)}$ such that the application $\lambda \rightarrow R(\lambda, T)$ is defined and bounded on $V \setminus \{\infty\}$. Moreover, this application it is holomorphic and bounded on $V \setminus \{\infty\}$, which implies that it is holomorphic at ∞ .

Therefore, the application $\lambda \rightarrow R(\lambda, T)$ is holomorphic on $\rho_W(Q_{\mathcal{P}}, T)$.

2) Results from the proof of (1).

3) For each $\lambda \in \rho_W(Q_{\mathcal{P}}, T)$ we have

$$\lambda^{-1}(I + TR(\lambda, T))(\lambda I - T) = I,$$

so

$$R(\lambda, T) = \lambda^{-1}(I + TR(\lambda, T)). \quad (1)$$

If $V \in \mathcal{V}_{(\lambda_0)}$ satisfies the conditions of the definition of Walebroeck resolvent set, then the set

$$\{TR(\lambda, T) \mid \lambda \in V \setminus \{\infty\}\}$$

is bounded, so from relation (1) results that $\lim_{|\lambda| \rightarrow \infty} R(\lambda, T) = 0$.

From equality $R(\lambda, T) = \lambda^{-1}R(1, \lambda^{-1}T)$, $\lambda \neq 0$, and relation (1) results that

$$R(1, \lambda^{-1}T) = I + TR(\lambda, T),$$

so

$$\lim_{|\lambda| \rightarrow \infty} R(1, \lambda^{-1}T) = \lim_{|\lambda| \rightarrow \infty} (I + TR(\lambda, T)) = I$$

■

Lemma 2.8 If $T \in (Q_{\mathcal{P}}(X))_0$ has SVEP, then $\sigma_T(x) = \emptyset$ if and only if $x = 0_X$.

Proof. If $\sigma_T(x) = \emptyset$, then \tilde{x} is an entire function. Since $|\sigma_W(Q_{\mathcal{P}}, T)| = r_{\mathcal{P}}(T)$, results that

$$(\lambda I - T)\tilde{x}(\lambda) = x, \quad (\forall) |\lambda| > r_{\mathcal{P}}(T), \quad (2)$$

so by lemma 2.7 we have

$$\lim_{|\lambda| \rightarrow \infty} \tilde{x}(\lambda) = \lim_{|\lambda| \rightarrow \infty} R(\lambda, T)x = 0.$$

Therefore, from Liouville's theorem results that $\tilde{x}(\lambda) \equiv 0$. Using the properties of functional calculus presented in [17] and (2) we have

$$x = \frac{1}{2\pi i} \int_{r_{\mathcal{P}}(T)+1} R(\lambda, T)x d\lambda = \frac{1}{2\pi i} \int_{r_{\mathcal{P}}(T)+1} x(\lambda) d\lambda = 0$$

It is obvious that if $x = 0_X$, then $\sigma_T(x) = \emptyset$.

■

3 Quasi-nilpotent Equivalent Operators

For a pair of operators $T, S \in (Q_{\mathcal{P}}(X))_0$, not necessarily permutable, we consider the following notation

$$(T - S)^{[n]} = \sum_{k=0}^n (-1)^{n-k} C_n^k T^k S^{n-k},$$

where $C_n^k = \frac{n!}{(n-k)!k!}$, for all $n \geq 1$ and $k = \overline{1, n}$.

Remark 3.1 [4] If $T, S, P \in (Q_{\mathcal{P}}(X))_0$ then for all $n \geq 1$ we have:

1. $(T - S)^{[n+1]} = T(T - S)^{[n]} - (T - S)^{[n]}S$.
2. $\sum_{k=0}^n (-1)^{n-k} C_n^k (T - S)^{[k]} (S - P)^{[n-k]} = (T - P)^{[n]}$.

Definition 3.2 We say that two operators $T, S \in (Q_{\mathcal{P}}(X))_0$ are quasi-nilpotent equivalent operators if for every $p \in \mathcal{P}$ we have

$$\lim_{n \rightarrow \infty} \left(\hat{p} \left((T - S)^{[n]} \right) \right)^{1/n} = 0 \text{ and } \lim_{n \rightarrow \infty} \left(\hat{p} \left((T - S)^{[n]} \right) \right)^{1/n} = 0.$$

In this case we write $T \overset{q}{\sim} S$.

Remark 3.3 If $T, S \in (Q_{\mathcal{P}}(X))_0$, then $(T - S)^{[n]} \in Q_{\mathcal{P}}(X)$.

Lemma 3.4 Let (X, \mathcal{P}) be a locally convex space and $T, S \in (Q_{\mathcal{P}}(X))_0$, such that $T \overset{q}{\sim} S$. Then the series $\sum_{n=0}^{\infty} (T - S)^{[n]}$ and $\sum_{n=0}^{\infty} (S - T)^{[n]}$ converges in $Q_{\mathcal{P}}(X)$.

Proof. If $T \overset{q}{\sim} S$, then

$$\lim_{n \rightarrow \infty} \hat{p} \left((T - S)^{[n]} \right)^{1/n} = 0, (\forall) p \in \mathcal{P},$$

so by root test the series $\sum_{n=0}^{\infty} \hat{p}((T - S)^{[n]})$ converges. Moreover, for each $\varepsilon \in (0, 1)$ and every $p \in \mathcal{P}$ there exists some index $n_{\varepsilon, p} \in \mathbb{N}$ such that

$$\hat{p} \left((T_1 - T_2)^{[n]} \right) \leq \varepsilon^n, (\forall) n \geq n_{\varepsilon, p}$$

which implies that

$$\sum_{k=n}^m \hat{p} \left((T_1 - T_2)^{[k]} \right) < \sum_{k=n}^m \varepsilon^k < \frac{\varepsilon^n}{1 - \varepsilon}, (\forall) m > n \geq n_{\varepsilon, p},$$

so $\left(\sum_{k=0}^n (T_1 - T_2)^{[k]} \right)_{n \in \mathbb{N}}$ is a Cauchy sequence. Since the algebra $Q_{\mathcal{P}}(X)$ is sequentially complete results that the series $\sum_{n=0}^{\infty} (T_1 - T_2)^{[n]}$ converges in $Q_{\mathcal{P}}(X)$.

Analogously, we can prove that the series $\sum_{n=0}^{\infty} (S - T)^{[n]}$ converges in $Q_{\mathcal{P}}(X)$ ■

Lemma 3.5 The relation $\overset{q}{\sim}$ defined above is a equivalence relation on $(Q_{\mathcal{P}}(X))_0$.

Proof. It is obvious that \mathcal{Q} is simetric and reflexive. Now will prove that \mathcal{Q} is transitive. Let $T_1, T_2, T_3 \in (Q_{\mathcal{P}}(X))_0$ such that $T_1 \mathcal{Q} T_2$ and $T_2 \mathcal{Q} T_3$. Then for every $\varepsilon > 0$ and every $p \in \mathcal{P}$ there exists $n_{\varepsilon, p} \in \mathbb{N}$ such that

$$\hat{p}\left((T_1 - T_2)^{[n]}\right) \leq \varepsilon^n \text{ and } \hat{p}\left((T_2 - T_3)^{[n]}\right) \leq \varepsilon^n,$$

for every $n \geq n_{\varepsilon, p}$. If

$$M_{\varepsilon, p} = \max_{k=1, n_{\varepsilon, p}-1} \left\{ \frac{\hat{p}\left((T_1 - T_2)^{[k]}\right)}{\varepsilon^k}, \frac{\hat{p}\left((T_2 - T_3)^{[k]}\right)}{\varepsilon^k}, 1 \right\}, (\forall) p \in \mathcal{P},$$

then for every $n \in \mathbb{N}$ we have

$$\hat{p}\left((T_1 - T_2)^{[n]}\right) \leq M_{\varepsilon, p} \varepsilon^n \text{ and } \hat{p}\left((T_2 - T_3)^{[n]}\right) \leq M_{\varepsilon, p} \varepsilon^n, (\forall) p \in \mathcal{P}.$$

The previous relation implies that

$$\begin{aligned} \hat{p}\left((T_1 - T_3)^{[n]}\right) &= \hat{p}\left(\sum_{k=0}^n (-1)^{n-k} C_n^k (T_1 - T_2)^{[k]} (T_2 - T_3)^{[n-k]}\right) \leq \\ &\leq \sum_{k=0}^n (-1)^{n-k} C_n^k \hat{p}\left((T_1 - T_2)^{[k]}\right) \hat{p}\left((T_2 - T_3)^{[n-k]}\right) \leq \sum_{k=0}^n (-1)^{n-k} C_n^k M_{\varepsilon, p}^2 \varepsilon^k \varepsilon^{n-k} = (2\varepsilon)^n M_{\varepsilon, p}^2 \end{aligned}$$

for all $n \in \mathbb{N}$ and every $p \in \mathcal{P}$, so

$$\hat{p}\left((T_1 - T_3)^{[n]}\right)^{1/n} \leq 2\varepsilon \sqrt[n]{M_{\varepsilon, p}^2}, (\forall) n \in \mathbb{N}, (\forall) p \in \mathcal{P}.$$

Therefore,

$$\lim_{n \rightarrow \infty} \hat{p}\left((T_1 - T_3)^{[n]}\right)^{1/n} = 0, (\forall) p \in \mathcal{P}$$

Analogously, we can prove that

$$\lim_{n \rightarrow \infty} \hat{p}\left((T_3 - T_1)^{[n]}\right)^{1/n} = 0, (\forall) p \in \mathcal{P},$$

so $T_1 \mathcal{Q} T_3$. ■

Lemma 3.6 *If (X, \mathcal{P}) is a locally convex space then $T, S \in (Q_{\mathcal{P}}(X))_0$ are then quasi-nilpotent equivalent operators if and only if $\tilde{T}_p, \tilde{S}_p \in \mathcal{L}(\tilde{X}^p)$ are quasi-nilpotent equivalent operators on the Banach space \tilde{X}^p , for every $p \in \mathcal{P}$.*

Proof. For every $p \in \mathcal{P}$ the subspace N^p is invariant for T_p and T_p , so

$$\left(\tilde{T}_p\right)^k \left(\tilde{S}_p\right)^l = (T^k S^l)_p, (\forall) k, l \in \mathbb{N}.$$

Hence

$$(\tilde{T}_p - \tilde{S}_p)^{[n]} = \left((T - S)^{[n]}\right)_p, (\forall) m \in \mathbb{N}$$

If $T \mathcal{Q} S$, then from definition results that

$$\lim_{n \rightarrow \infty} \left(\hat{p}\left((T - S)^{[n]}\right)\right)^{1/n} = 0 \text{ and } \lim_{n \rightarrow \infty} \left(\hat{p}\left((T - S)^{[n]}\right)\right)^{1/n} = 0. \quad (3)$$

so

$$\lim_{n \rightarrow \infty} \left\| (\tilde{T}_p - \tilde{S}_p)^{[n]} \right\|_p^{1/n} = \lim_{n \rightarrow \infty} \hat{p} \left((T - S)^{[n]} \right) = 0 \quad (4)$$

$$\lim_{n \rightarrow \infty} \left\| (\tilde{S}_p - \tilde{T}_p)^{[n]} \right\|_p^{1/n} = \lim_{n \rightarrow \infty} \hat{p} \left((S - T)^{[n]} \right) = 0 \quad (5)$$

Therefore, $\tilde{T}_p, \tilde{S}_p \in \mathcal{L}(\tilde{X}^p)_0$ are quasi-nilpotent equivalent operators, for every $p \in \mathcal{P}$.

Conversely, if $\tilde{T}_p \stackrel{q}{\sim} \tilde{S}_p$, for every $p \in \mathcal{P}$, then the relation (4) and (5) holds, so condition (3) is verified. \blacksquare

Lemma 3.7 *If (X, \mathcal{P}) is a locally convex space and $T, S \in (Q_{\mathcal{P}}(X))_0$ are then quasi-nilpotent equivalent operators, then $\sigma(Q_{\mathcal{P}}, T) = \sigma(Q_{\mathcal{P}}, S)$.*

Proof. From previous lemma results that $\tilde{T}_p, \tilde{S}_p \in \mathcal{L}(\tilde{X}^p)_0$ are quasi-nilpotent equivalent operators, for every $p \in \mathcal{P}$, hence by theorem 2.2 ([4]) we have $\sigma(\tilde{T}_p) = \sigma(\tilde{S}_p)$. Moreover, $\sigma(Q_{\mathcal{P}}, T) = \bigcup_p \sigma(\tilde{T}_p)$ and $\sigma(Q_{\mathcal{P}}, S) = \bigcup_p \sigma(\tilde{S}_p)$, so the corollary is proved. \blacksquare

Theorem 3.8 *Let (X, \mathcal{P}) be a locally convex space. If $T, S \in (Q_{\mathcal{P}}(X))_0$ are quasi-nilpotent equivalent operators, then $\sigma_W(Q_{\mathcal{P}}, T) = \sigma_W(Q_{\mathcal{P}}, S)$.*

Proof. From lemma 2.7 results that the functions $\lambda \rightarrow R(\lambda, T)$ and $\lambda \rightarrow R(\lambda, S)$ are holomorphic on the set $\rho_W(Q_{\mathcal{P}}, T)$, respectively $\rho_W(Q_{\mathcal{P}}, S)$.

Let $\lambda_0 \in \sigma_W(Q_{\mathcal{P}}, T)$ arbitrary fixed. Since $\sigma_W(Q_{\mathcal{P}}, T)$ is an open set there exists $0 < r_1 < r_2$ such that $D_i(\lambda_0) \subset \sigma_W(Q_{\mathcal{P}}, T)$, $i = \overline{1, 2}$, where

$$D_i(\lambda_0) = \{\mu \in \mathbb{C} \mid |\mu - \lambda_0| < r_i\}, \quad i = \overline{1, 2},$$

and the set $\{ R(\lambda, T) \mid \lambda \in D_1(\lambda_0) \}$ is bounded in $Q_{\mathcal{P}}(X)$. For each $p \in \mathcal{P}$ we consider that

$$M_p = \sup\{ \hat{p}(R(\lambda, T)) \mid \lambda \in D_1(\lambda_0) \}.$$

We denote by $R(\mu, T) = \sum_{k=0}^n R_n(\lambda)(\mu - \lambda)^k$ the Taylor expansion of the resolvent around each point λ of $D_1(\lambda_0)$. From complex analysis we have the formula

$$R_n(\lambda) = \frac{1}{n!} \frac{d^n}{d\lambda^n} R(\mu, T) = \frac{1}{2\pi i} \int_{|\omega - \lambda| = r_2} \frac{R(\omega, T)}{(\omega - \lambda)^{n+1}} d\omega, \quad (\forall) \lambda \in D_1(\lambda_0), (\forall) n \geq 0,$$

so,

$$\begin{aligned} \hat{p}(R_n(\lambda)) &= \hat{p} \left(\frac{1}{2\pi i} \int_{|\omega - \lambda| = r_2} \frac{R(\omega, T)}{(\omega - \lambda)^{n+1}} d\omega \right) \leq \\ &\leq \hat{p}(R_n(\lambda)) = r_1 \sup\{ \hat{p}(R(\lambda, T)) \mid \lambda \in D_1(\lambda_0) \} \sup\left\{ \frac{1}{(\omega - \lambda)^{n+1}} \mid \lambda \in D_1(\lambda_0) \right\} \leq \\ &\leq r_2 M_p (r_2 - r_1)^{-(n+1)}, \end{aligned}$$

for all $\lambda \in D_1(\lambda_0)$ and every $n \geq 0$. Since $T \stackrel{q}{\sim} S$ results that for every $\varepsilon > 0$ and every $p \in \mathcal{P}$ there exists $n_{\varepsilon, p} \in \mathbb{N}$ such that

$$\hat{p} \left((T - S)^{[n]} \right) \leq \varepsilon^n \text{ and } \hat{p} \left((S - T)^{[n]} \right) \leq \varepsilon^n, (\forall) n \geq n_{\varepsilon, p}.$$

Assume that $\varepsilon < r_1 - r_0$. Then for every $p \in \mathcal{P}$ there exists $n_{\varepsilon,p} \in \mathbb{N}$ such that

$$\begin{aligned}\hat{p}\left((S-T)^{[n]}R_n(\lambda)\right) &\leq \varepsilon^n r_1 M_p (r_1 - r_0)^{-(n+1)} = \\ &= r_1 (r_1 - r_0)^{-1} M_p \left(\frac{\varepsilon}{r_1 - r_0}\right)^n,\end{aligned}$$

for every $n \geq n_{\varepsilon,p}$ and every $\lambda \in D_1(\lambda_0)$, so $\left(\sum_{n=0}^m (-1)^n (S-T)^{[n]} R_n(\lambda)\right)_m$ is a Cauchy sequences. Since $Q_{\mathcal{P}}(X)$ is sequentially complete results that the series

$$R(\lambda) = \sum_{n=0}^{\infty} (-1)^n (S-T)^{[n]} R_n(\lambda)$$

converges uniformly in D_0 . Therefore, the function $\lambda \rightarrow R(\lambda)$ is analytic in $\rho_W(Q_{\mathcal{P}}, T)$.

Using lemma 2.7 by induction it can be prove that if we differentiate $n \geq 1$ times the equalities

$$(\lambda I - T)R(\lambda, T) = R(\lambda, T)(\lambda I - T) = I,$$

then for every $n \geq 1$ we obtain

$$\begin{aligned}(\lambda I - T) \frac{d^n}{d\lambda^n} R(\lambda, T) &= \frac{d^n}{d\lambda^n} R(\lambda, T) (\lambda I - T) = \\ &= -n \frac{d^{n-1}}{d\lambda^{n-1}} R(\lambda, T), (\forall) \lambda \in D_0(\lambda_0)\end{aligned}$$

so

$$\begin{aligned}(\lambda I - T)R_n(\lambda) &= (\lambda I - T) \frac{1}{n!} \frac{d^n}{d\lambda^n} R(\mu, T) = \\ &= -n \frac{1}{n!} \frac{d^{n-1}}{d\lambda^{n-1}} R(\lambda, T) = -R_{n-1}(\lambda),\end{aligned}\tag{6}$$

for every $\lambda \in D_1(\lambda_0)$ and every $n \geq 1$.

From lemma 3.1 and relation (6) results the following equalities

$$\begin{aligned}(\lambda I - S)R(\lambda) &= \sum_{n=0}^{\infty} (-1)^n (\lambda I - S)(S-T)^{[n]} R_n(\lambda) = \\ &= \sum_{n=0}^{\infty} (\lambda I - S) ((\lambda I - S) - (\lambda I - T))^{[n]} S R_n(\lambda) = \\ &= \sum_{n=0}^{\infty} \{((\lambda I - S) - (\lambda I - T))^{[n+1]} R_n(\lambda) + ((\lambda I - S) - (\lambda I - T))^{[n]} (\lambda I - T) R_n(\lambda)\} = \\ &= \sum_{n=0}^{\infty} (-1)^{n+1} (S-T)^{[n+1]} R_n(\lambda) + (\lambda I - T) R_0(\lambda) + \sum_{n=1}^{\infty} (-1)^n (S-T)^{[n]} (\lambda I - T) R_n(\lambda) = \\ &= \sum_{n=0}^{\infty} (-1)^{n+1} (S-T)^{[n+1]} R_n(\lambda) + (\lambda I - T) R_0(\lambda) + \sum_{n=0}^{\infty} (-1)^{n+1} (S-T)^{[n+1]} (\lambda I - T) R_{n+1}(\lambda) = \\ &= \sum_{n=0}^{\infty} (-1)^{n+1} (S-T)^{[n+1]} R_n(\lambda) + (\lambda I - T) R(\lambda, T) + \sum_{n=0}^{\infty} (-1)^{n+1} (S-T)^{[n+1]} (-R_n(\lambda)) = I\end{aligned}$$

Analogously we prove that $R(\lambda)(\lambda I - S) = I$, so $\rho_W(Q_{\mathcal{P}}, T) \subset \rho_W(Q_{\mathcal{P}}, S)$. The inclusion $\rho_W(Q_{\mathcal{P}}, S) \subset \rho_W(Q_{\mathcal{P}}, T)$ can be proved in the same way.

■
Lemma 3.9 *Let (X, \mathcal{P}) be a locally convex space and $T \in (Q_{\mathcal{P}}(X))_0$ such that $r_{\mathcal{P}}(T) < 1$. Then the operator $I - T$ is invertible and $(I - T)^{-1} = \sum_{n=0}^{\infty} T^n$.*

Proof. Assume that $r_{\mathcal{P}}(T) < t < 1$. Hence results that

$$\limsup_{n \rightarrow \infty} (\hat{p}(T^n))^{1/n} < t, (\forall) p \in \mathcal{P},$$

so for each $p \in \mathcal{P}$ there exists $n_p \in \mathbb{N}$ such that

$$(\hat{p}(T^n))^{1/n} \leq \sup_{n \geq n_p} (\hat{p}(T^n))^{1/n} < t, (\forall) n \geq n_p.$$

This relation implies that the series $\sum_{n=0}^{\infty} \hat{p}(T^n)$ converges, so

$$\lim_{n \rightarrow \infty} \hat{p}(T^n) = 0, (\forall) p \in \mathcal{P},$$

therefore $\lim_{n \rightarrow \infty} T^n = 0$. Since the algebra $Q_{\mathcal{P}}(X)$ is sequentially complete results that the series $\sum_{n=0}^{\infty} T^n$ converges. Moreover,

$$(I - T) \sum_{n=0}^m T^n = \sum_{n=0}^m T^n (I - T) = I - T^{m+1},$$

so

$$(I - T) \sum_{n=0}^{\infty} T^n = \sum_{n=0}^{\infty} T^n (I - T) = I,$$

which implies that $I - T$ is invertible and $(I - T)^{-1} = \sum_{n=0}^{\infty} T^n$. ■

Theorem 3.10 *Let (X, \mathcal{P}) be a locally convex space. If $T, S \in (Q_{\mathcal{P}}(X))_0$ are quasi-nilpotent equivalent operators, then T has SVEP if and only if S has SVEP.*

Proof. Assume that T has SVEP. Let $D_f \subset \mathbb{C}$ be an open set such that $\rho_W(Q_{\mathcal{P}}, S) \subset D_f$ and $f : D_f \rightarrow X$ be an analytic function on D_f which satisfies the property

$$(\lambda I - S)f(\lambda) = 0, \lambda \in D_f.$$

Then, for every $n \geq 0$ we have

$$\begin{aligned} (T - S)^{[n]} f(\lambda) &= \sum_{k=0}^n (-1)^{n-k} C_n^k T^k S^{n-k} f(\lambda) = \\ &= \sum_{k=0}^n (-1)^{n-k} C_n^k T^k \lambda^{n-k} f(\lambda) = (T - \lambda I)^n f(\lambda) \end{aligned} \quad (7)$$

Since $T \overset{q}{\sim} S$ results that for every $\varepsilon > 0$ and every $p \in \mathcal{P}$ there exists $n_{\varepsilon, p} \in \mathbb{N}$ such that

$$\hat{p}((T - S)^{[n]}) \leq \varepsilon^n \text{ and } \hat{p}((S - T)^{[n]}) \leq \varepsilon^n, (\forall) n \geq n_{\varepsilon, p}.$$

Let $\mu \neq \lambda$. Then for every $\varepsilon \in (0, |\mu - \lambda|)$ and for every $p \in \mathcal{P}$ there exists $n_{\varepsilon, p} \in \mathbb{N}$

$$\hat{p} \left(\frac{(T - S)^{[n]}}{(\mu - \lambda)^{n+1}} \right) \leq \frac{\varepsilon^n}{|\mu - \lambda|^{n+1}}, (\forall) n \geq n_{\varepsilon, p},$$

so the $\left(\sum_{n=0}^m \frac{(T-S)^{[n]}}{(\mu-\lambda)^{n+1}} \right)_m$ is a Cauchy sequences. Since $Q_{\mathcal{P}}(X)$ is sequentially complete results that the series $\sum_{n=0}^{\infty} \frac{(T-S)^{[n]}}{(\mu-\lambda)^{n+1}}$ is absolutely convergent in the topology of $Q_{\mathcal{P}}(X)$ for every $\mu \neq \lambda$. Moreover, if $r_{\mathcal{P}}(T - \lambda I) < |\mu - \lambda|$, then $r_{\mathcal{P}}(\frac{T-\lambda I}{\mu-\lambda}) < 1$ and from lemma 3.9 results that

$$\sum_{n=0}^{\infty} \frac{(T - \lambda I)^n}{(\mu - \lambda)^{n+1}} = (\mu - \lambda)I - (T - \lambda I) = R(\mu, T). \quad (8)$$

From the relations (7) and (8) results that

$$\begin{aligned} (\mu I - T) \left(\sum_{n=0}^{\infty} \frac{(T - S)^{[n]}}{(\mu - \lambda)^{n+1}} \right) f(\lambda) &= (\mu I - T) \left(\sum_{n=0}^{\infty} \frac{(T - \lambda I)^n}{(\mu - \lambda)^{n+1}} \right) f(\lambda) = \\ &= (\mu I - T)R(\mu, T)f(\lambda) = f(\lambda), \end{aligned}$$

for every μ with the property $r_{\mathcal{P}}(T - \lambda I) < |\mu - \lambda|$. Therefore,

$$g_{\lambda}(\mu) = \sum_{n=0}^{\infty} \frac{(T - S)^{[n]}}{(\mu - \lambda)^{n+1}} f(\lambda)$$

is an analytic function on $\mathbb{C} \setminus \{\lambda\}$ which verifies the relation

$$(\mu I - T)g_{\lambda}(\mu) = f(\lambda) \quad (9)$$

on the open set $\{\mu \in \mathbb{C} \mid r_{\mathcal{P}}(T - \lambda I) < |\mu - \lambda|\} \subset \mathbb{C} \setminus \{\lambda\}$. Since T has SVEP results that the function $g_{\lambda}(\mu)$ verifies the relation (9) for all $\mu \neq \lambda$. This implies that $\mathbb{C} \setminus \{\lambda\} \subset \rho_T(f(\lambda))$, i.e. $\sigma_T(f(\lambda)) \subset \{\lambda\}$.

Let $\lambda_0 \in D_f$ arbitrary fixed and $r > 0$ such that $D_0 = \{\lambda \in \mathbb{C} \mid |\lambda - \lambda_0| \leq r_0\} \subset D_f$. Since $g_{\lambda}(\mu)$ is analytic on $\mathbb{C} \setminus \{\lambda\}$ from relation (9) results that

$$(\mu I - T) \frac{1}{2\pi i} \int_{|\xi - \lambda| = r_0} \frac{g_{\xi}(\mu)}{\xi - \lambda_0} d\xi = \frac{1}{2\pi i} \int_{|\xi - \lambda| = r_0} \frac{f(\mu)}{\xi - \lambda_0} d\xi = f(\lambda_0) \quad (10)$$

for all $\mu \in D_0$, so $\mu \in \rho_T(f(\lambda_0))$, for every $\mu \in D_0$. Hence $\lambda_0 \in \rho_T(f(\lambda_0))$ and since we already proved above that $\sigma_T(f(\lambda_0)) \subset \{\lambda_0\}$ results that $\sigma_T(f(\lambda)) = \emptyset$. Lemma 2.8 implies that $f(\lambda) \equiv 0$ on D_0 and since $\lambda_0 \in D_f$ is arbitrary chosen, results that $f(\lambda) \equiv 0$ on D_f . Therefore, S has SVEP. Analogously we can prove that if S has SVEP then T has SVEP. \blacksquare

Theorem 3.11 *Let (X, \mathcal{P}) be a locally convex space. If $T, S \in (Q_{\mathcal{P}}(X))_0$ are quasi-nilpotent equivalent operators and T has SVEP, then $\sigma_T(x) = \sigma_S(x)$, for every $x \in X$.*

Proof. First we remark that from previous theorem results that S has SVEP. Let $x(\lambda)$ be the analytic function on $\rho_T(x)$ which verify the condition

$$(\lambda I - T)x(\lambda) = x, \quad \lambda \in \rho_T(x). \quad (11)$$

Let $\lambda_0 \in \rho_T(x)$ arbitrary fixed. Since $\rho_T(x)$ is an open set there exists $0 < r_1 < r_2$ such that $D_i(\lambda_0) \subset \sigma_W(Q_{\mathcal{P}}, T)$, $i = \overline{1, 2}$, where

$$\bar{D}_i(\lambda_0) = \{\mu \in \mathbb{C} \mid |\mu - \lambda_0| \leq r_i\}, \quad i = \overline{1, 2}.$$

For every $p \in \mathcal{P}$ denote by M_p^1 the maximum of $x(\lambda)$ on $\bar{D}_2(\lambda_0)$. Hence, for $\lambda \in \bar{D}_2(\lambda_0)$ we have

$$p \left(\frac{x^{(n)}(\lambda)}{n!} \right) = p \left(\frac{1}{2\pi i} \int_{|\xi - \lambda_0| = r_2} \frac{x(\xi)}{(\xi - \lambda)^{n+1}} d\xi \right) \leq \frac{M_p^1 r_2}{(r_2 - r_1)^{n+1}}, \quad (\forall) n \geq 0. \quad (12)$$

In the proof of lemma 3.5 we proved that for every $\varepsilon > 0$ and each $p \in \mathcal{P}$ there exists $M_{\varepsilon, p} > 0$ such that

$$\hat{p} \left((T - S)^{[n]} \right) \leq M_{\varepsilon, p} \varepsilon^n, \quad (\forall) n \geq 0. \quad (13)$$

Therefore, the relations (12) and (13) implies that

$$p \left((T - S)^{[n]} \frac{x^{(n)}(\lambda)}{n!} \right) \leq \hat{p} \left((T - S)^{[n]} \right) p \left(\frac{x^{(n)}(\lambda)}{n!} \right) < \frac{M_{\varepsilon, p} M_p^1 r_2}{r_2 - r_1} \left(\frac{\varepsilon}{r_2 - r_1} \right)^n,$$

for all $n \geq 0$. Taking $\varepsilon = \frac{r_2 - r_1}{2}$ results that for each $p \in \mathcal{P}$ there exists $M_{\varepsilon, p} > 0$ such that

$$p \left((T - S)^{[n]} \frac{x^{(n)}(\lambda)}{n!} \right) \leq \frac{M_p}{2^n}, \quad (\forall) n \geq 0, \quad (14)$$

where $M_p = \frac{M_{\varepsilon, p} M_p^1 r_2}{r_2 - r_1}$ does not depend on $\lambda \in \bar{D}_2(\lambda_0)$. The relation (14) shows that the series

$$\sum_{n=0}^{\infty} p \left((-1)^n (T - S)^{[n]} \frac{x^{(n)}(\lambda)}{n!} \right)$$

converges for every $\lambda \in \bar{D}_2(\lambda_0)$ and every $p \in \mathcal{P}$, so since X is sequentially complete results that the series $\sum_{n=0}^{\infty} (-1)^n (T - S)^{[n]} \frac{x^{(n)}(\lambda)}{n!}$ converges absolutely and uniformly on $\bar{D}_2(\lambda_0)$. But $\lambda_0 \in \rho_T(x)$ is arbitrary fixed, hence this series converges absolutely and uniformly on every compact $K \subset \rho_T(x)$, which implies that

$$x_1(\lambda) = \sum_{n=0}^{\infty} (-1)^n (T - S)^{[n]} \frac{x^{(n)}(\lambda)}{n!} \quad (15)$$

is analytic on $\rho_T(x)$. Now we prove that

$$(\lambda I - S)x_1(\lambda) = x, \quad \lambda \in \rho_T(x).$$

If we differentiate $n \geq 1$ times the equality (11), then we have

$$(\lambda I - T)x^{(n)}(\lambda) = -nx^{(n-1)}(\lambda), \quad \lambda \in \rho_T(x).$$

From previous relations and remark 3.1 results

$$\begin{aligned} (\lambda I - S)x_1(\lambda) &= \sum_{n=0}^{\infty} (-1)^n (\lambda I - S)(S - T)^{[n]} \frac{x^{(n)}(\lambda)}{n!} = \\ &= \sum_{n=0}^{\infty} (\lambda I - S) ((\lambda I - S) - (\lambda I - T))^{[n]} \frac{x^{(n)}(\lambda)}{n!} = \end{aligned}$$

$$\begin{aligned}
&= \sum_{n=0}^{\infty} \left\{ ((\lambda I - S) - (\lambda I - T))^{[n+1]} + ((\lambda I - S) - (\lambda I - T))^{[n]} (\lambda I - T) \right\} \frac{x^{(n)}(\lambda)}{n!} = \\
&= \sum_{n=0}^{\infty} (-1)^{n+1} (S - T)^{[n+1]} \frac{x^{(n)}(\lambda)}{n!} + \sum_{n=0}^{\infty} (-1)^n (S - T)^{[n]} (\lambda I - T) \frac{x^{(n)}(\lambda)}{n!} = \\
&= \sum_{n=0}^{\infty} (-1)^{n+1} (S - T)^{[n+1]} \frac{x^{(n)}(\lambda)}{n!} + (\lambda I - T)x(\lambda) + \sum_{n=1}^{\infty} (-1)^n (S - T)^{[n]} \frac{x^{(n-1)}(\lambda)}{(n-1)!} = \\
&= (\lambda I - T)x(\lambda) = x
\end{aligned}$$

for all $\lambda \in \rho_T(x)$. This shows that $\rho_T(x) \subset \rho_S(x)$, so $\sigma_S(x) \subset \sigma_T(x)$. Analogously it can be proved that $\sigma_T(x) \subset \sigma_S(x)$. ■

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